



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/620,350	07/20/2000	William J Reid	AUS990912US1	3424

7590 02/04/2004

Intellectual Property Law Dept
IBM Corporation
11400 Burnet Road
Zip 4054
Austin, TX 78758

EXAMINER

HO, THOMAS M

ART UNIT	PAPER NUMBER
----------	--------------

2134

DATE MAILED: 02/04/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/620,350

Applicant(s)

REID, WILLIAM J

Examiner

Thomas M Ho

Art Unit

2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 20 July 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-40 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. §§ 119 and 120

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.
a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ 6) ☐ Other: _____

DETAILED ACTION

1. Claims 1-40 are pending.

Claim Rejections - 35 USC § 112

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 4, 5, 15, 16, 25, 26, 29 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Regarding claims 4, 5, 15, 16, 25, 26, 29 the phrase "and/or" renders the claim indefinite because the limitation(s) following the phrase in the claimed invention are unclear. For example, claims 4, 15, 25 refer to "a plurality of files and/or resources associated with each of the plurality of servers". It is unclear whether or not a single file and a single resource would be a "plurality of files and/or resources."

For the remainder of the rejections in this action, the Examiner, for the purposes of examination will read "and/or" as meaning both file and resources.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

Art Unit: 2134

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1-6, 8, 10-17, 19, 21-27, 29, 31-33, 35, 37-40 are rejected under 35 U.S.C. 102(e) as being anticipated by Glasser et al.

In reference to claim 1:

Glasser et al. discloses a method of updating security configurations of a plurality of servers, comprising:

- Changing security information in a centralized server, where the security information is the commands for manipulating resource access permissions (Column 7, lines 45-48)
- Receiving an update command (Column 7, lines 46-48)
- Downloading the changed security information to the plurality of servers in response to receiving the update command, wherein the downloaded changed security information is used to update the security configurations of the plurality of servers, where the downloaded information occurs when the security information is propagated down the network. (Column 7, lines 60-65)

In reference to claim 2:

Glasser et al. discloses a method wherein the plurality of servers are Windows NT servers and the centralized server is a directory server. (Column 3, lines 34-40)

Art Unit: 2134

In reference to claim 3:

Glasser et al. discloses a method wherein the centralized server is a directory server and wherein changing the security information includes using an editor to change a directory listing in the centralized server, where the editor is the program that allows the security information to be changed. (Column 8, lines 12-39)

In reference to claim 4:

Glasser et al. discloses a method where the security configurations of the plurality of servers are updated by updating security parameter lists associated with a plurality of files and resources associated with each of the plurality of servers, where the security configurations are altered through the access control list and each list is associated with a plurality of files and resources for its particular node in the network (Column 9, lines 15-25)

In reference to claim 5:

Glasser et al. discloses a method where the security parameter lists identify authorized users or authorized groups of users of the files and resources associated with the security parameter lists, where the security parameter lists are access control lists which identify authorized groups of users of the files and resources. (Column 7, lines 5-12)

In reference to claim 6:

Glasser et al. discloses a method where the update command is received from a network administrator, where the network administrator is the system administrator (Column 7, lines 46-54)

In reference to claim 8:

Glasser et al. discloses a method where the update command is received from one or more of the plurality of servers, where the update command is the request for changing resource access permissions, and the plurality of servers is any node on the network (Column 7, lines 46-54)

In reference to claim 10:

Glasser et al. discloses a method where downloading the changed security information includes filtering a directory listing stored on the centralized server to extract the changed security information, where the directory listing is filtered and only the changes made with respect to the selected resources are propagated to the rest of the nodes. (Column 9, lines 15-25)

In reference to claim 11:

Glasser et al. discloses a method where the security configurations are updated by filtering the downloaded changed security information to extract only necessary update information for updating the security configurations and then updating the security configurations based on the extracted necessary update information, where the security configurations are updated by filtering the changes and updating only the changes. (Column 7, lines 55-64)

Art Unit: 2134

In reference to claim 14:

Glasser et al. discloses a security configuration update server wherein the update command includes changes to the security information. (Column 8, lines 47-54)

In reference to claim 32:

Glasser et al. discloses a method in a data processing system for updating access information for a plurality of servers, the method comprising:

Collecting changes to access information at the data processing system to form modified access information and responsive to a policy, transferring the modified access information to the plurality of servers, wherein the modified access information is used to update the security configurations of the plurality of servers. (Column 9, lines 15-25)

In reference to claim 33:

Glasser et al. discloses a method wherein the policy comprises receiving a request to update the security configurations for the plurality of servers. (Column 7, lines 46-48)

In reference to claim 35:

Glasser et al. discloses a method wherein the policy comprises initiating the transfer of the modified access information to the plurality of servers in response to a selected event, where the selected event is the received command for manipulating access information. (Column 7, lines 46-48) & (Column 8, lines 35-39)

In reference to claim 40:

Glasser et al. discloses a method wherein the security information is filtered by the centralized server, prior to downloading the security information, to extract only security information that has been changed, where the server filters the information before downloading the security information and the information is only sent if changes made with respect to the selected resource can be propagated. (Column 9, lines 15-20)

Claims 12, 23, 37 are rejected for the same reasons as claim 1.

Claims 13, 38 are rejected for the same reasons as claim 2.

Claim 24 is rejected for the same reasons as claim 3.

Claims 15, 25, 39 are rejected for the same reasons as claim 4.

Claims 16, 26 are rejected for the same reasons as claim 5.

Claims 17, 27 are rejected for the same reasons as claim 6.

Claims 19, 29 are rejected for the same reasons as claim 8.

Claims 21, 31 are rejected for the same reasons as claim 10.

Claim 22 is rejected for the same reasons as claim 11.

Claim Rejections - 35 USC § 103

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person

Art Unit: 2134

having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 7, 9, 18, 20, 28, 30, 34, 36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glasser et al.

In reference to claim 7:

Glasser et al. discloses all of claim 7 except a method wherein the update command is received at scheduled periodic times.

The examiner takes official notice that receiving the update command at scheduled periodic times is well known to those of ordinary skill in the art. For example, System or network administrators often do routine maintenance based on a schedule.

It would have been obvious to one of ordinary skill in the art for an administrator to send out an update command, and hence have an update command received at scheduled periodic times, because it would allow clients of the system to know when to expect an access control update, should the update temporarily interfere with their own ability to access the server while the access control list was being updated.

In reference to claim 9:

Glasser et al. discloses all of claim 9 except a method wherein the centralized server is a light weight directory access protocol server.

The examiner takes official notice that the lightweight directory access protocol, or LDAP is well known to those of ordinary skill in the art. LDAP defines a standard manner of

Art Unit: 2134

organizing directory hierarchies and a standard interface for clients to interface with access directory servers.

It would have been obvious to one of ordinary skill in the art to use the lightweight directory access protocol in the central server because LDAP has broad industry support, and runs directly over TCP/IP.

Claims 18, 28, 34, 36 are rejected for the same reasons as claim 7.

Claims 20, 30 are rejected for the same reasons as claim 9.

Conclusion

8. The following prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- US Patent 5335346 discloses a an access control list which spans the boundaries of objects. Access control policies are implemented from an object's superobject.
- US Patent 5173939 discloses a distributed system where each object in the system contains its own Access Control List. These objects are connected to a Trusted Computing Base
- US Patent 5701458 discloses ACLs associated with each directory, file, printer, or other resource in a data processing system with a hierarchical structure.


9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thomas M Ho whose telephone number is (703)305-8029. The examiner can normally be reached on M-F from 8:30am – 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory A. Morse can be reached at (703)308-4789. The fax phone numbers for the organization where this application or proceeding is assigned are (703)746-7239 for regular communications and (703)746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)306-5484.

TMH

January 23rd 2003


GREGORY MORSE
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100